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3c714 U.S. PTO

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PTO/SB/05 (4/98)

09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Attorney Docket No.	97-1804
First Inventor or Application Identifier	C. A. RANDALL
Title	FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC DEPOSITION
Express Mail Label No.	EK311844788US

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO

Assistant Commissioner for Patents
Box Patent Application
Washington DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **29**]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **5**]
- Oath or Declaration [Total Sheets **2**]
 - a. ☒ Unexecuted copy
 - b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§1.63(d)(2) and 1.33(b)

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☒ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☐ Other:

* NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28)

If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment

☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application No.: 60/115,075 filed on 01/07/99

Prior application information: Examiner _____ Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label or ☐ Correspondence address below
(Insert Customer No. or Attach Bar code label here)

Name	Thomas J. Monahan				
	Intellectual Property Office				
Address	The Pennsylvania State University				
	113 Technology Center				
City	University Park	State	PA	Zip Code	16802-7000
Country	United States	Telephone	(814) 865-6279	Fax	(814) 865-3591

Name (Print / Type)	Thomas J. Monahan	Registration No. (Attorney/Agent)	29,835
Signature	[Signature]		Date: 01/06/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENT TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)

97-1804

Applicant, Patentee, or Identifier: C. A. RANDALL, et al.

Application or Patent No.: _____

Filed or Issued: January 06, 2000

Title: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC DEPOSITION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The Penn State Research Foundation

ADDRESS OF NONPROFIT ORGANIZATION 304 Old Main

University Park, PA 16802

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Thomas J. Monahan (Reg. No. 29,835)

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Intellectual Property Office

ADDRESS OF PERSON SIGNING 113 Technology Center, University Park, PA 16802-7000

SIGNATURE [Signature] DATE January 06, 2000

Practitioner's Docket No.: 97-1804

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: C. A. RANDALL, et al.

Serial No.:

Group No.:

Filed: 01/06/2000

Examiner:

For: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC
DEPOSITION

Assistant Commissioner for Patents
Washington D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EK311844788US

Date of Deposit: January 06, 2000

I hereby state that the following *attached* paper or fee:

- 1 Fee Transmittal Form (in duplicate)
- 1 Utility Patent Application
- 1 Small Entity Statement
- 29 pages of Specifications
- 5 Sheets of Drawings
- 1 unexecuted Declaration
- 1 Information Disclosure Statement
- 16 examples of Prior Art
- 1 Return Receipt Postcard

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Ruth A. Harpster

Typed or printed name of person mailing paper or fee

Ruth A. Harpster

Signature of person mailing paper or fee

NOTE: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail". Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings, it is suggested that the label number be placed on the back of each formal drawing or the drawings be accompanied by a set of informal drawings on which the label is placed.

(Express Mail Certificate [8-3])

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.

Complete if Known

Application Number

Filing Date

01/06/00

First Named Inventor

C. A. RANDALL

Examiner Name

Group / Art Unit

TOTAL AMOUNT OF PAYMENT

(\$).

444.00

Attorney Docket No.

97-1804

METHOD OF PAYMENT (check one)**FEE CALCULATION (continued)**

3. ADDITIONAL FEES

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account No.

16-1133

Deposit Account Name	Account Number	Account Type	Account Balance	Account Status
Current Account	1234567890	Current	10000.00	Active
Savings Account	9876543210	Savings	5000.00	Active
Fixed Deposit	5678901234	Fixed Deposit	25000.00	Active
Recurring Deposit	4321098765	Recurring Deposit	15000.00	Active
Emergency Fund	3210987654	Emergency Fund	7500.00	Active
Retirement Fund	2109876543	Retirement Fund	30000.00	Active
Education Fund	1098765432	Education Fund	12000.00	Active
Health Insurance	0987654321	Health Insurance	8000.00	Active
Life Insurance	9876543210	Life Insurance	20000.00	Active
Travel Fund	8765432109	Travel Fund	6000.00	Active
Charitable Fund	7654321098	Charitable Fund	4000.00	Active
Emergency Fund	6543210987	Emergency Fund	9000.00	Active
Retirement Fund	5432109876	Retirement Fund	22000.00	Active
Education Fund	4321098765	Education Fund	11000.00	Active
Health Insurance	3210987654	Health Insurance	7000.00	Active
Life Insurance	2109876543	Life Insurance	18000.00	Active
Travel Fund	1098765432	Travel Fund	5000.00	Active
Charitable Fund	0987654321	Charitable Fund	3000.00	Active
Emergency Fund	9876543210	Emergency Fund	8000.00	Active
Retirement Fund	8765432109	Retirement Fund	21000.00	Active
Education Fund	7654321098	Education Fund	10000.00	Active
Health Insurance	6543210987	Health Insurance	6000.00	Active
Life Insurance	5432109876	Life Insurance	17000.00	Active
Travel Fund	4321098765	Travel Fund	4000.00	Active
Charitable Fund	3210987654	Charitable Fund	2000.00	Active
Emergency Fund	2109876543	Emergency Fund	7000.00	Active
Retirement Fund	1098765432	Retirement Fund	20000.00	Active
Education Fund	0987654321	Education Fund	9000.00	Active
Health Insurance	9876543210	Health Insurance	5000.00	Active
Life Insurance	8765432109	Life Insurance	16000.00	Active
Travel Fund	7654321098	Travel Fund	3000.00	Active
Charitable Fund	6543210987	Charitable Fund	1000.00	Active
Emergency Fund	5432109876	Emergency Fund	6000.00	Active
Retirement Fund	4321098765	Retirement Fund	19000.00	Active
Education Fund	3210987654	Education Fund	8000.00	Active
Health Insurance	2109876543	Health Insurance	4000.00	Active
Life Insurance	1098765432	Life Insurance	15000.00	Active
Travel Fund	0987654321	Travel Fund	2000.00	Active
Charitable Fund	9876543210	Charitable Fund	900.00	Active
Emergency Fund	8765432109	Emergency Fund	5000.00	Active
Retirement Fund	7654321098	Retirement Fund	18000.00	Active
Education Fund	6543210987	Education Fund	7000.00	Active
Health Insurance	5432109876	Health Insurance	3000.00	Active
Life Insurance	4321098765	Life Insurance	14000.00	Active
Travel Fund	3210987654	Travel Fund	1000.00	Active
Charitable Fund	2109876543	Charitable Fund	800.00	Active
Emergency Fund	1098765432	Emergency Fund	4000.00	Active
Retirement Fund	0987654321	Retirement Fund	17000.00	Active
Education Fund	9876543210	Education Fund	6000.00	Active
Health Insurance	8765432109	Health Insurance	2000.00	Active
Life Insurance	7654321098	Life Insurance	13000.00	Active
Travel Fund	6543210987	Travel Fund	900.00	Active
Charitable Fund	5432109876	Charitable Fund	700.00	Active
Emergency Fund	4321098765	Emergency Fund	3000.00	Active
Retirement Fund	3210987654	Retirement Fund	16000.00	Active
Education Fund	2109876543	Education Fund	5000.00	Active
Health Insurance	1098765432	Health Insurance	1000.00	Active
Life Insurance	0987654321	Life Insurance	12000.00	Active
Travel Fund	9876543210	Travel Fund	800.00	Active
Charitable Fund	8765432109	Charitable Fund	600.00	Active
Emergency Fund	7654321098	Emergency Fund	2000.00	Active
Retirement Fund	6543210987	Retirement Fund	15000.00	Active
Education Fund	5432109876	Education Fund	4000.00	Active
Health Insurance	4321098765	Health Insurance	900.00	Active
Life Insurance	3210987654	Life Insurance	11000.00	Active
Travel Fund	2109876543	Travel Fund	700.00	Active
Charitable Fund	1098765432	Charitable Fund	500.00	Active
Emergency Fund	0987654321			

☐ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17

☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☐ **Payment Enclosed**

☐ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	345.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1)	(\$) 345.00
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2. EXTRA CLAIM FEES

	Extra Claims			Fee from below		Fee Paid
Total Claims	31	-20** =	11	x	9	= 99.00
Independent Claims	3	- 3 ** =	0	x	0	= 0.00
Multiple Dependent					0	= 0.00

****or number previously paid, if greater; For Reissues, see below**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)	(\$)	99.00
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* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)	0.00
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SUBMITTED BY

Typed or Printed Name

Thomas J. Monahan

Complete (if applicable)

Complete (if applicable)	
Req. Number	

29.835

Signature

Date _____

01/06/00

Deposit Account User ID